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Issuance Date: 04/10/2001  
Closing Date: 05/09/2001  
Closing Time: 12:00 noon

**Subject: Request for Applications (RFA) Number: M/OP-01-569,  
"Support for Reintegration Skills Training & Employment  
Generation for Ex-combatants"**

The United States Agency for International Development (USAID), Bureau for Humanitarian Response, Office of Transition Initiatives is seeking applications from U.S. organizations working in collaboration with local implementing partners for a program titled, "Support for Reintegration Skills Training and Employment Generation for Ex-combatants." The authority for the RFA is found in the Foreign Assistance Act of 1961, as amended.

USAID considers this program to be assistance to an organization for a public purpose rather than the acquisition by USAID of services from an organization. Accordingly, an assistance instrument (a grant in this case), in lieu of a contractual instrument has been determined to be the most appropriate means for the implementation of this program. An assistance instrument is used when the principal purpose of the relationship between USAID and the other party or parties is the transfer of funds or services to the Grantee in order to accomplish a public purpose, through support or stimulation of the Grantee's own program or project.

It is anticipated that BHR/OTI will award one or two 12-month grants that will cover two of the geographical areas as described in the Program Description. If an applicant wants to propose based on both geographical areas, two separate proposals must be submitted, one for each area. However, applicants can submit proposals for one region, only. The total estimated USAID funding for each one-year award will be approximately \$950,000. In addition, a 25% cost sharing level by the Grantee is highly encouraged. USAID reserves the right to fund any or none of the applications submitted. Please refer to the Program Description for a complete statement of goals and expected results.

Pursuant to 22 CFR 226.81, it is USAID policy not to award profit under assistance instruments. However, all reasonable, allocable, and allowable expenses, both direct and indirect, which are related to the grant program and are in accordance with applicable cost standards (22 CFR 226, OMB Circular A-122 for non-profit organization, OMB Circular A-21 for universities, and the Federal Acquisition Regulation (FAR) Part 31 for-profit organizations), may be paid under the grant.

For the purposes of this program, this RFA is being issued and consists of this cover letter and the following Sections:

1. Section A - Grant Application Format;
2. Section B - Selection Criteria;
3. Section C - Program Description;
4. Section D - Certifications, Assurances, and Other Statements of Applicant/Grantee

If your organization decides to submit an application, it should be received by the closing date and time indicated at the top of this cover letter at the place designated below for receipt of applications. Applications and modifications thereof shall be submitted in envelopes with the name and address of the applicant and RFA No.: M/OP-01-569 inscribed thereon to:

**(If sent via U.S. Postal Service):**

United States Agency for International Development  
Attn: Monique Bryant/Contracts Specialist  
1300 Pennsylvania Avenue, NW  
M/OP/HRAM/DATI, Room 7.10-014  
Washington, DC 20523

**(If hand-carried or Via Courier Service):**

United States Agency for International Development  
M/OP/HRAM/DATI, Room 7.10-014  
1300 Pennsylvania Avenue, NW  
Washington, DC 20523  
USAID Visitor's Desk - Entrance at the 14<sup>th</sup> Street Lobby Only  
Contact: Monique Bryant (202) 712-1055

Applicants are requested to submit both technical and cost portions of their applications in separate volumes. Award will be made to that responsible applicant(s) whose application(s) offers the greatest value.

Issuance of this RFA does not constitute an award commitment on the part of the Government, nor does it commit the Government to pay for costs incurred in the preparation and submission of an application. Further, the Government reserves the right to reject any or all applications received. In addition, final award of any resultant grant(s) cannot be made until funds have been fully appropriated, allocated, and committed through internal USAID procedures. While it is anticipated that these procedures will be successfully completed, potential applicants are hereby notified of these requirements and conditions for award. Applications are submitted at the risk of the applicant; should circumstances prevent award of a grant, all preparation and submission costs are at the applicant's expense.

The preferred method of distribution of USAID procurement information is via the Internet. This RFA and any future amendments can be downloaded from the Agency Web Site. The World Wide Web Address is <http://www.usaid.gov>. Select Business and Procurement from the home page, then "USAID Procurements". On the following screen, select "Download Available USAID Solicitations". Receipt of this RFA through INTERNET must be confirmed by written notification to the contact person noted below. It is the responsibility of the Grantee of the application document to ensure that it has been received from INTERNET in its entirety and USAID bears no responsibility for data errors resulting from transmission or conversion processes.

In the event of an inconsistency between the documents comprising this RFA, it shall be resolved by the following descending order of precedence:

- (a) Section II - Selection Criteria;
- (b) Section I - Grant Application Format;
- (c) the Program Description;
- (d) this Cover Letter.

Any questions concerning this RFA should be submitted in writing within ten days of receipt of the application to allow a reply to reach all prospective applicants before the submission of their applications. Questions should be sent to Monique Bryant, Contract Specialist or Jean C. Horton, Agreement Officer, via facsimile at (202) 216-3132 or via internet at [mbryant@usaid.gov](mailto:mbryant@usaid.gov) and [cc:jhorton@usaid.gov](mailto:cc:jhorton@usaid.gov). The SUBJECT line should read, RFA No. M/OP-01-569. If there are problems in downloading the RFA off the INTERNET, please contact the USAID INTERNET Coordinator on (202) 712-4442. Applicants should retain for their records one copy of all enclosures, which accompany their application.

Sincerely,

Jean C. Horton  
Agreement Officer

## **SECTION A - GRANT APPLICATION FORMAT**

### **PREPARATION GUIDELINES**

All applications received by the deadline will be reviewed for responsiveness to the specifications outlined in these guidelines and the application format. Section II addresses the technical evaluation procedures for the applications. Applications which, are submitted late or are incomplete run the risk of not being considered in the review process.

Applications shall be submitted in two separate parts: (a) technical and (b) cost or business application. Both portions of applications should be submitted in an original and (3) copies.

The application should be prepared according to the structural format set forth below. Applications must be submitted no later than the date and time indicated on the cover page of this RFA, to the location indicated on page 3 of the cover letter accompanying this RFA.

Technical applications should be specific, complete and presented concisely. The applications should demonstrate the applicant's capabilities and expertise with respect to achieving the goals of this program. The applications should take into account the technical evaluation criteria found in Section B.

Applicants should retain for their records one copy of the application and all enclosures, which accompany their application. The person signing the application must initial erasures or other changes. To facilitate the competitive review of the applications, USAID will consider only applications conforming to the format prescribed below.

Acknowledgement of Amendments to the RFA - Applicants shall acknowledge receipt of any amendment to this RFA by signing and returning the amendment. The Government must receive the acknowledgement by the time specified for receipt of applications.

#### **A. PREPARATION OF APPLICATIONS:**

1. Applicants are expected to review, understand, and comply with all aspects of this RFA. Failure to do so will be at the applicant's risk.
2. Each applicant shall furnish the information required by this RFA. The applicant shall sign the application and print or type its name on the Cover Page of the technical and cost applications. The person signing the application must initial erasures or other changes. Applications signed by an agent shall be accompanied by evidence of that agent's authority, unless that evidence has been previously furnished to the issuing office.
3. Applicants who include data that they do not want disclosed to the public for any purpose or used by the U.S. Government except for evaluation purposes, should:

(a) Mark the title page with the following legend:

"This application includes data that shall not be disclosed outside the U.S. Government and shall not be duplicated, used, or disclosed - in whole or in part - for any purpose other than to evaluate this application. If, however, a grant is awarded to this applicant as a result of - or in connection with - the submission of this data, the U.S. Government shall have the right to duplicate, use, or disclose the data to the extent provided in the resulting grant. This restriction does not limit the U.S. Government's right to use information contained in this data if it is obtained from another source without restriction. The data subject to this restriction are contained in sheets; and

(b) Mark each sheet of data it wishes to restrict with the following legend:

"Use or disclosure of data contained on this sheet is subject to the restriction on the title page of this application."

4. Explanation to Prospective Applicants - Any prospective applicant desiring an explanation or interpretation of this RFA must request it in writing by e-mail to [mbryant@usaid.gov](mailto:mbryant@usaid.gov) within ten days of receipt of the application to allow a reply to reach all prospective applicants before the submission of their applications. No oral explanations or instructions will be permitted. Any information given to a prospective applicant concerning this RFA will be furnished promptly to all other prospective applicants as an amendment of this RFA, if that information is necessary in submitting applications or if the lack of it would be prejudicial to any other prospective applicants.

#### A.1 Cost Application Format

The Cost or Business Application is to be submitted under separate cover from the technical application. Certain documents are required to be submitted by an applicant in order for a Grant Officer to make a determination of responsibility. However, it is USAID policy not to burden applicants with undue reporting requirements if that information is readily available through other sources.

The following sections describe the documentation that applicants for Assistance award must submit to USAID prior to award. While there is no page limit for this portion, applicants are encouraged to be as concise as possible, but still provide the necessary detail to address the following:

A. Include a budget with an accompanying budget narrative that provides in detail the total costs for implementation of the program your organization is proposing. The budget should be submitted using Standard Form 424 and 424A which can be downloaded from the USAID web- site, [http://www.usaid.gov/procurement\\_bus\\_opp/procurement/forms/sf424/](http://www.usaid.gov/procurement_bus_opp/procurement/forms/sf424/)

- the breakdown of all costs associated with the program according to costs of, if applicable, headquarters, regional and/or country offices;
- the breakdown of all costs according to each partner organization involved in the program;

- the costs associated with external, expatriate technical assistance and those associated with local in-country technical assistance;
- the breakdown of the financial and in-kind contributions of all organizations involved in implementing this Grant;
- potential contributions of non-USAID or private commercial donors to this Grant;
- your procurement plan for commodities (note that contraceptives and other health commodities will not be provided under this Grant).

C. A current Negotiated Indirect Cost Rate Agreement;

D. Required certifications and representations (See Attachment D);

E. Applicants are highly encouraged to propose cost sharing at the level of 25% of total project cost. Cost sharing includes contributions from the recipient (both cash and in-kind) which are necessary and reasonable to achieve program objectives and which are verifiable from the recipient's records. Cost sharing contributions may include volunteer services provided by professional and technical personnel, and un-recovered indirect costs.

F. Applicants who do not currently have a Negotiated Indirect Cost Rate Agreement (NICRA) from their cognizant agency shall also submit the following information:

1. copies of the applicant's financial reports for the previous 3-year period, which have been audited by a certified public accountant or other auditor satisfactory to USAID;
2. projected budget, cash flow and organizational chart;
3. A copy of the organization's accounting manual.

G. Applicants should submit any additional evidence of responsibility deemed necessary for the Grant Officer to make a determination of responsibility. The information submitted should substantiate that the Applicant:

1. Has adequate financial resources or the ability to obtain such resources as required during the performance of the award.
2. Has the ability to comply with the award conditions, taking into account all existing and currently prospective commitments of the applicant, nongovernmental and governmental.
3. Has a satisfactory record of performance. Past relevant unsatisfactory performance is ordinarily sufficient to justify a finding of non-responsibility, unless there is clear evidence of subsequent satisfactory performance.
4. Has a satisfactory record of integrity and business ethics; and
5. Is otherwise qualified and eligible to receive a grant under applicable laws and regulations (e.g., EEO).

H. Applicants that have never received a grant, Grant or contract from the U.S. Government are required to submit a copy of their accounting manual. If a copy has already been submitted to the U.S. Government, the applicant should advise which Federal Office has a copy.

## A.2 Technical Application Format

The technical application is the most important item considered in determining the successful application and in issuing an award. The technical application must be specific, complete, and presented in a concise manner. Also important are the application's comprehensiveness, creativity, and cost effectiveness.

The technical application should contain all of the elements specified below. The applicant should fully address each of these elements as it pertains to the proposed program, respecting the **(15-page limit, single-spaced, 11 or 12 font size)**. Graphics or pictures will not be included in this page count.

### PROGRAM LOCATIONS:

#### **Sierra Leone:**

- 1.) Eastern Province and Bo, Pujehun, and Bonthe Districts of the Southern Province**
- 2.) Northern Province and Moyamba District of the Southern Province**

OTI will make one or two awards each for \$950,000. One award will cover the Northern Province plus Moyamba District of the Southern Province. The other award will cover the Eastern Province and Bo, Pujehun, and Bonthe Districts of the Southern Province. If an applicant wants to propose based on both geographical areas, two separate proposals must be submitted, one for each area. However, applicants can submit proposals for one region, only.

The purpose of this activity is reconciliation and reintegration of ex-combatants, in a community-based approach that includes non-combatants as beneficiaries. There is no intention of uniform geographic coverage of activities within the two geographic areas designated above. Activities need to be focused in areas of high density of reinsertion of ex-combatants. The grantee should indicate how it will select the location of its proposed activities. Some districts may have very little activities, compared to others.

In addition to the coordination mechanisms provided by NCDDR, the grantee should indicate how it will coordinate with similar programs of other donors, particularly the UK and the World Bank, to prevent overlap and ensure the maximum overall recovery in Sierra Leone.

1. Proposed Approach and General Strategy: The application must include a clear description of the conceptual approach and general strategy (i.e., methodology and techniques) proposed to implement this program.

2. Results, Achievement Indicators, Timeline: USAID's philosophy of development assistance is guided by five core values: customer, focus, results orientation, empowerment, accountability, and teamwork. Applicants are again encouraged to be familiar with USAID policy for microenterprise development as an example, and to follow best practices.

3. Implementation Plan: The application must provide a work plan for achieving the program objectives. The applicant is encouraged to propose innovative implementation designs to reach the desired results, and an aggressive but realistic to schedule of performance milestones as steps towards reaching those results. The implementation plan schedule should be linked with the results timeline mentioned above.

4. The grantee should seek to support economic activities with the highest economic multiplier possible, in communities with the most likelihood to offer new economic opportunities. For example: grant and/or credit to a small metal-working business that is willing to apprentice metal-workers; provision of tools and equipment for the apprentices to use their skills; grants and/or credit to local tailors to employ apprentices to make school uniforms.

5. The grantee should describe the processes by which communities and potential beneficiaries of the activities will be engaged, in a participatory process, during the design stages, and throughout implementation of the activities. These processes should foster values and skills of community development, participatory decision-making, gender equality, and reintegration of war-affected people.

6. The grantee will make a specific effort to either refer the ex-combatants to further opportunities, or will indicate why and how the ex-combatants will be able to pursue their own livelihood without special assistance when the program expires.

7. Cost Sharing: The technical application should only indicate the level of cost sharing (i.e., in terms of percentage), and type of cost sharing proposed (e.g., activities, personnel, backstopping, un-recovered indirect costs, etc.) and shall not include specific cost/budgetary information. That will be provided in the cost proposal (see below).

8. Sub-agreements: Applicants that intend to use sub-recipients and/or sub-contractors shall indicate the extent of utilization intended, the method of identifying and selecting the sub-recipients and sub-contractors, and the tasks/functions they will be performing. Applicants shall state whether or not they have existing relationships with these other organizations and the nature of the relationship. The applicant must specify the technical resources, capabilities, and expertise of proposed sub-contract/sub-recipient organizations. Technical plan information for proposed sub-recipients and/or sub-contractors should follow the same format as that submitted by the applicant.

9. Monitoring and Evaluation Plan: The application must include a monitoring and evaluation plan for measuring and reporting on progress toward the achievement of the performance milestones and the overall results.

#### B. UNNECESSARILY ELABORATE APPLICATIONS

Unnecessary elaborate brochures or other presentations beyond those sufficient to present a complete and effective application in response to this RFA are not desired and may be construed as an indication of the applicant's lack of cost consciousness. Elaborate artwork, expensive paper and bindings, and expensive visual and other presentation aids are neither necessary nor wanted.

#### C. SUBMISSION OF APPLICATIONS

1. Applications and modifications thereof shall be submitted in sealed envelopes or packages (1) addressed to the office specified in the Cover Letter of this RFA, and (2) showing the time specified for receipt, the RFA number, and the name and address of the applicant.

#### D. GRANT AWARDS

1. The Government may make award on the basis of initial applications received, without discussions. Therefore, each initial application should contain the applicant's best terms from a cost and technical standpoint.

2. A written award mailed or otherwise furnished to the successful applicant(s) within the time for acceptance specified either in the application(s) or in this RFA (whichever is later) shall result in a binding Grant without further action by either party. Before the application's specified expiration time, the Government may accept an application, whether or not there are negotiations after its receipt, unless a written notice of withdrawal is received before award. Negotiations conducted after receipt of an application do not constitute a rejection or counteroffer by the Government.

3. Neither financial data submitted with an application nor representations concerning facilities or financing, will form a part of the resulting Grant(s).

E. Authority to Obligate the Government - The Agreement Officer is the only individual who may legally commit the Government to the expenditure of public funds. No costs chargeable to the proposed Grant may be incurred before receipt of either a fully executed Grant or a specific, written authorization from the Agreement Officer.

## **SECTION B - SELECTION CRITERIA**

The criteria presented below have been tailored to the requirements of this particular RFA. Applicants should note that these criteria serve to: (a) identify the significant matters which applicants should address in their applications and (b) set the standard against which all applications will be evaluated. To facilitate the review of applications, applicants should organize the narrative sections of their applications in the same order as the selection criteria.

The technical applications will be evaluated in accordance with the Technical Evaluation Criteria set forth below. The cost proposal will be evaluated for reasonableness and allowability in accordance with the applicable cost principles. Negotiations may be conducted with all applicants whose application, after discussion, has a reasonable chance of being selected for award. Awards will be made to responsible applicants whose applications offer the best value, technical, cost and other factors considered.

Firms lacking relevant past performance history shall be given a "neutral" past performance rating that neither rewards or penalizes those applicants. In the evaluation of past performance the Agreement Officer may take into account a broad range of information as well as that included in the recipient's application.

### **15%            Responsiveness of the proposal to the Program Description**

- An important part of the program is the reintegration progress of the ex-combatants. The grantee should describe how it intends to do this in a community-based approach that also gives opportunities to non-combatants.

### **15%            Demonstrate relevant experience in Sierra Leone or Similar Setting**

- Past performance - Applicants shall provide a list of ten most current U.S. Governmental and/or privately funded contracts, grants, cooperative agreements, etc. obtained/received by the organization in the last three fiscal years involving programs similar to the program proposed in their application. Include the following for each award listed:
  - a. Name of awarding organization or agency
  - b. Address of awarding organization or agency
  - c. Place of performance of services or program
  - d. Award number
  - e. Amount of award
  - f. Time Period of award (begin and end dates of services/program)
  - g. Current telephone number, fax number and Internet/e-mail address of a responsible technical representative of that organization or agency
  - h. Brief description of the program

- **Organizational Capability:** The application must provide evidence of the organization's technical resources, expertise and capacity to implement proposed activities. The information presented should indicate pertinent work experience and representative accomplishments in developing and implementing similar programs.

Care should be taken to establish the relevance of past experience to this program and the basis for reliance upon that experience as an indicator of success on this program. At a minimum, information in this section should address the following topics:

- a. Brief description of organizational history/expertise;
- b. Pertinent work experience and representative accomplishments in developing and implementing programs of the type being proposed;
- c. Evidence of a successful record of implementing similar programs overseas;
- d. Relevant experience with proposed approaches;
- e. Institutional strength as represented by breadth and depth of experienced personnel;
- f. Proposed field management structure and financial controls; and Home-office backstopping.

**10% Demonstrate experience in the management of reintegration of ex-combatants and community-based recovery or development programs**

**20% Demonstrate qualifications of Proposed Staff**

- The application must specify the composition and organizational structure of the implementation team (including home office support), including those considered to be Key Personnel, and describe each staff member's role, technical expertise and estimated amount of time each will devote to the project.
- It must also indicate the names, positions, titles, and provide full resumes of important managerial and technical personnel who will be involved in program activity.

**30% Indicate the quantifiable inputs and outputs of the proposal measured by the estimated:**

- **Number of person-days of work created**
- **Number of persons trained on-the-job or apprenticed**
- **Number and value of public works constructed**

The applicant (s) should present an estimation of the number of works to be implemented, the estimated number of different villages or neighborhoods to benefit, the estimated number of temporary construction jobs to be provided for ex-combatants and non-combatants, the estimated profile of apprenticeships and their duration, and the projected number of ex-combatants who will have acquired a useful and "marketable" livelihood skill by the end of the program.

The Grantee should describe how it will monitor and report on the outputs and inputs as described in Section B. Program Description, and the general contribution to reintegration of ex-combatants.

**10% Implementation Plan, including Start-up Date**

The application must provide specific information related to the speed with which full start-up can be undertaken, and a calendar for delivery of the quantifiable inputs and outputs, for the length of the program.

**SECTION C - PROGRAM DESCRIPTION**

**BACKGROUND:**

Sierra Leone has been at war for over ten years. The war is not over, despite the fact that there is currently a cease-fire, and that some voluntary disarmament and demobilization of fighting forces happened after the Lome Peace Agreement of July 1999. Reintegration of ex-combatants is an important part of the peace process, as it serves to reinforce and make permanent the commitment to disarm and demobilize, and it may offer an example to other combatants, who have not yet disarmed and demobilized.

The Government of Sierra Leone (GOSL), under the authority of the National Commission for Disarmament, Demobilization and Reintegration (NCDDR), is coordinating the process of disarmament, demobilization and reintegration. NCDDR has extensive technical assistance, and both grant and loan funding, from the World Bank, the United Kingdom, and other donors.

In coordination with NCDDR, and to support the DRR process, USAID/OTI is already implementing a nation-wide Youth Reintegration Training and Education for Peace program, involving demobilized ex-combatants and non-combatants. The program provides remedial literacy and numeracy, psycho-social counseling, and the development of coping mechanisms to enable war-affected young people to develop their own livelihood strategies in the context of a war-ravaged economy, in what is generally classified as the poorest country in the world.

NCDDR, with a credit from the World Bank, is managing a grants facility to support a variety of local Non-Governmental Organization (NGO) initiatives for employment creation and skills training. The activity described in this Concept Paper will add more opportunities to what is already being accomplished by NCDDR and other donors.

**PROGRAM LOCATIONS:**

Sierra Leone:

- Eastern Province and Bo, Pujehun, and Bonthe Districts of the Southern Province
- Northern Province and Moyamba District of the Southern Province

BHR/OTI will make one or two awards, each for \$950,000. One award will cover the Northern Province plus Moyamba District of the Southern Province. The other award will cover the Eastern Province and Bo, Pujehun, and Bonthe Districts of the Southern Province. If an applicant wants to propose based on both geographical areas, two separate proposals must be submitted, one for each area. However, applicants can submit proposals for one region, only.

The purpose of this activity is reconciliation and reintegration of ex-combatants, in a community-based approach that includes non-combatants as beneficiaries. There is no intention of uniform geographic coverage of activities within the two geographic areas designated above, for which BHR/OTI will make the two awards. Activities need to be focused in areas of high density of reinsertion of ex-combatants. The grantee should indicate how it will select the location of its proposed activities. Some districts may have very little activities, compared to others.

In addition to the coordination mechanisms provided by NCDDR, the grantee should indicate how it will coordinate with similar programs of other donors, particularly the UK and the World Bank, to prevent overlap and ensure the maximum overall recovery in Sierra Leone.

**ISSUES TO BE ADDRESSED WITH THIS PROGRAM INTERVENTION:**

Ex-combatants need to find immediate employment, and then they need to find permanent employment. The formal sector is almost inoperative in most parts of Sierra Leone. NCDDR has published information on the places of origin, preferred locations for resettlement, skills profiles, and vocational preferences of those ex-combatants who have demobilized **\*Attachment 1, Summary of Statistical Report Ex-Combatants Discharged During Phase II.** Most ex-combatants are unskilled persons, with minimal schooling. Many ex-combatants engaged in the war as children or young people, and did not have the opportunity for formal schooling or to learn traditional livelihood skills from their elders.

*\* Attachment 1 - A hardcopy of this document will be sent to those applicants that confirm receipt of this RFA by written notification to mbryant@usaid.gov. Please include your mailing address in this e-mail. This document must be requested within 20 days after the issuance date.*

Reintegration of ex-combatants requires simultaneously working with the individual ex-combatant and the host community. In some cases, the ex-combatant will be reintegrating into his original family setting, but it is likely that in many cases, either temporarily or permanently, the ex-combatant will choose to locate in a new area. Large numbers of unemployed non-combatants face the same challenges of needing to provide subsistence income for themselves and their family in a devastated socio-economic context.

Reconciliation is a necessary component of reintegration. There are many Sierra Leone initiatives, some with donor assistance, promoting reconciliation and acceptance by communities of ex-combatants. OTI's Education for Peace program is a community-based activity using reconciliation themes, involving both ex-combatants and non-combatant youth, working together to rebuild personal and community relationships. Nevertheless, rejection of ex-combatants is likely to be a continuing problem, and anti-social behavior by some ex-combatants will aggravate reintegration for all of them. Participation of ex-combatants in rebuilding of public works may contribute to reconciliation.

**DESIRED PROGRAM OUTPUTS:**

USAID intends to achieve the following outputs with this program:

- provide temporary employment for as large a number of ex-combatants as possible;

- provide on-the-job skills training as part of the temporary employment;
- have the employment/skills-training opportunities created by Sierra Leonean employers or contractors, in order to contribute to their own post-conflict development;
- create employer/employee or apprenticeship relationships between Sierra Leonean business people and ex-combatants that will contribute to reintegration;
- provide capacity-building for local NGOs, cooperatives, producer associations or unions and local business people, merchants or craftspeople;
- in coordination with NCDDR, identify ex-combatants whose reintegration is deemed to be very critical to a continuation of the peace process, develop the means to monitor their progress, and report on their reintegration experience, including skills acquired,
- success in establishing a viable livelihood, and ability to live unarmed and in peace.

#### **PROGRAM INPUTS:**

The grantee will be requested to provide the following program inputs:

- Select a limited number of locations, and justify the choices;
- Work with community leadership and potential business people to identify and build a limited number of civil works, such as the construction or repair of schools, health clinics, or similar public buildings, road or bridge construction or repair, water and sanitation works, etc.
- Identify, structure, and supervise employer/employee apprenticeships, as described above.

In the case of civil works construction, care and diligence must be taken to engage appropriate engineering and contracting expertise, commensurate with the level of complexity of the civil works project. By and large, the grantee should select simple works that do not pose complex engineering problems, and that can be accomplished with a relatively labor-intensive effort.

The grantee should seek to support economic activities with the highest multiplier possible, in communities with the most likelihood to offer new economic opportunities. For example, a small project could consist of support for metal-working shops, in the form of a business grant or small credits to a small business that is willing to apprentice metal-workers, plus the provision of tools and equipment for the apprentices to work on their own at the end of the apprenticeship. Another example is the provision of a grant or small credit to local tailors, so that they can expand their operations to employ apprentices to make school uniforms.

All of the ex-combatants to be employed or apprenticed should be given the opportunity to participate in advance, or simultaneously, in the USAID/OTI-funded Education for Peace program.

International NGOs already have seeds and tools programs to support resettlement. Ex-combatants can obtain assistance to pursue agricultural livelihoods from these programs, therefore the present program seeks to provide non-agricultural opportunities. Livelihoods that are complimentary to agriculture should be given priority, such as the production of agricultural tools and the repair of roads and bridges to access farming communities.

#### **PRINCIPLES OF OTI'S ASSISTANCE**

OTI expects its implementing partner to work according to the following principles of assistance:

- Support and coordinate with the leadership and programs of the Government of Sierra Leone (GOSL), particularly the National Commission for Disarmament, Demobilization and Reintegration (NCDDR), and civil society;
- Coordinate with other donors;
- Integrate OTI actions with humanitarian relief, especially as it transitions from emergency life-saving assistance to support for resettlement ;
- Try to create self-sustaining efforts at reintegration, and promote the empowerment of the affected communities.

#### **POSSIBLE FOLLOW-ON ASSISTANCE**

The program should be designed for completion in one calendar year. However, the proponent should indicate in general or indicative terms how additional funding would be employed, if it were available for a second year.

## SECTION D

### U.S. Agency for International Development CERTIFICATIONS, ASSURANCES, AND OTHER STATEMENTS OF GRANTEE [1][2] PART I - CERTIFICATIONS AND ASSURANCES

#### 1. ASSURANCE OF COMPLIANCE WITH LAWS AND REGULATIONS GOVERNING NON-DISCRIMINATION IN FEDERALLY ASSISTED PROGRAMS

(a) The Grantee hereby assures that no person in the United States shall, on the bases set forth below, be excluded from participation in, be denied the benefits of, or be otherwise subjected to discrimination under, any program or activity receiving financial assistance from USAID, and that with respect to the grant for which application is being made, it will comply with the requirements of:

(1) Title VI of the Civil Rights Act of 1964 (Pub. L. 88-352, 42 U.S.C. 2000-d), which prohibits discrimination on the basis of race, color or national origin, in programs and activities receiving Federal financial assistance;

(2) Section 504 of the Rehabilitation Act of 1973 (29 U.S.C. 794), which prohibits discrimination on the basis of handicap in programs and activities receiving Federal financial assistance;

(3) The Age Discrimination Act of 1975, as amended (Pub. L. 95-478), which prohibits discrimination based on age in the delivery of services and benefits supported with Federal funds;

(4) Title IX of the Education Amendments of 1972 (20 U.S.C. 1681, et seq.), which prohibits discrimination on the basis of sex in education programs and activities receiving Federal financial assistance (whether or not the programs or activities are offered or sponsored by an educational institution); and

(5) USAID regulations implementing the above nondiscrimination laws, set forth in Chapter II of Title 22 of the Code of Federal Regulations.

(b) If the Grantee is an institution of higher education, the Assurances given herein extend to admission practices and to all other practices relating to the treatment of students or clients of the institution, or relating to the opportunity to participate in the provision of services or other benefits to such individuals, and shall be applicable to the entire institution unless the Grantee establishes to the satisfaction of the USAID Administrator that the institution's practices in designated parts or programs of the institution will in no way affect its practices in the program of the institution for which financial assistance is sought, or the beneficiaries of, or participants in, such programs.

(c) This assurance is given in consideration of and for the purpose of obtaining any and all Federal grants, loans, contracts, property, discounts, or other Federal financial assistance extended after the date hereof to the Grantee by the Agency, including installment payments after such date on account of applications for Federal financial assistance which were approved before such date. The Grantee recognizes and agrees that such Federal financial assistance will be extended in reliance on the representations and agreements made in this Assurance, and that the United States shall have the right to seek judicial enforcement of this Assurance. This Assurance is binding on the Grantee, its successors, transferees, and

assignees, and the person or persons whose signatures appear below are authorized to sign this Assurance on behalf of the Grantee.

## **2. CERTIFICATION REGARDING DRUG-FREE WORKPLACE REQUIREMENTS**

### **(a) Instructions for Certification**

(1) By signing and/or submitting this application or grant, the Grantee is providing the certification set out below.

(2) The certification set out below is a material representation of fact upon which reliance was placed when the agency determined to award the grant. If it is later determined that the Grantee knowingly rendered a false certification, or otherwise violates the requirements of the Drug-Free Workplace Act, the agency, in addition to any other remedies available to the Federal Government, may take action authorized under the Drug-Free Workplace Act.

(3) For Grantees other than individuals, Alternate I applies.

(4) For Grantees who are individuals, Alternate II applies.

### **(b) Certification Regarding Drug-Free Workplace Requirements**

#### **Alternate I**

(1) The Grantee certifies that it will provide a drug-free workplace by:

(A) Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession or use of a controlled substance is prohibited in the applicant's/grantee's workplace and specifying the actions that will be taken against employees for violation of such prohibition;

(B) Establishing a drug-free awareness program to inform employees about--

1. The dangers of drug abuse in the workplace;
2. The Grantee's policy of maintaining a drug-free workplace;
3. Any available drug counseling, rehabilitation, and employee assistance programs; and
4. The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace;

(C) Making it a requirement that each employee to be engaged in the performance of the grant be given a copy of the statement required by paragraph (b)(1)(A);

(D) Notifying the employee in the statement required by paragraph (b)(1)(A) that, as a condition of employment under the grant, the employee will--

1. Abide by the terms of the statement; and
2. Notify the employer of any criminal drug statute conviction for a violation occurring in the workplace no later than five days after such conviction;

(E) Notifying the agency within ten days after receiving notice under subparagraph (b)(1)(D)1. from an employee or otherwise receiving actual notice of such conviction;

(F) Taking one of the following actions, within 30 days of receiving notice under subparagraph (b)(1)(D)2., with respect to any employee who is so convicted--

1. Taking appropriate personnel action against such an employee, up to and including termination; or

2. Requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a Federal, State, or local health, law enforcement, or other appropriate agency;

(G) Making a good faith effort to continue to maintain a drug-free workplace through implementation of paragraphs (b)(1)(A), (b)(1)(B), (b)(1)(C), (b)(1)(D), (b)(1)(E) and (b)(1)(F).

(2) The Grantee shall insert in the space provided below the site(s) for the performance of work done in connection with the specific grant:

Place of Performance (Street address, city, county, state, zip code)

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#### Alternate II

The Grantee certifies that, as a condition of the grant, he or she will not engage in the unlawful manufacture, distribution, dispensing, possession or use of a controlled substance in conducting any activity with the grant.

### **3. CERTIFICATION REGARDING DEBARMENT, SUSPENSION, AND OTHER RESPONSIBILITY MATTERS -- PRIMARY COVERED TRANSACTIONS [3]**

(a) Instructions for Certification

1. By signing and submitting this proposal, the prospective primary participant is providing the certification set out below.

2. The inability of a person to provide the certification required below will not necessarily result in denial of participation in this covered transaction. The prospective participant shall submit an explanation of why it cannot provide the certification set out below. The certification or explanation will be considered in connection with the department or agency's determination whether to enter into this transaction. However, failure of the prospective primary participant to furnish a certification or an explanation shall disqualify such person from participation in this transaction.

3. The certification in this clause is a material representation of fact upon which reliance was placed when the department or agency determined to enter into this transaction. If it is later determined that the prospective primary participant knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government, the department or agency may terminate this transaction for cause or default.

4. The prospective primary participant shall provide immediate written notice to the department or agency to whom this proposal is submitted if at any time the prospective primary participant learns that its certification was erroneous when submitted or has become erroneous by reason of changed circumstances.

5. The terms "covered transaction," "debarred," "suspended," "ineligible," lower tier covered transaction," "participant," "person," "primary covered transaction," "principal," "proposal," and "voluntarily excluded," as used in this clause, have the meaning set out in the Definitions and Coverage sections of the rules implementing Executive Order 12549. [4] You may contact the department or agency to which this proposal is being submitted for assistance in obtaining a copy of those regulations.

6. The prospective primary participant agrees by submitting this proposal that, should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the department or agency entering into this transaction.

7. The prospective primary participant further agrees by submitting this proposal that it will include the clause titled "Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion--Lower Tier Covered Transaction," [5] provided by the department or agency entering into this covered transaction, without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions.

8. A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that it is not debarred, suspended, ineligible, or voluntarily excluded from the covered transaction, unless it knows that the certification is erroneous. A participant may decide the methods and frequency by which it determines the eligibility of its principals. Each participant may, but is not required to, check the Nonprocurement List.

9. Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealing.

10. Except for transactions authorized under paragraph 6 of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal Government, the department or agency may terminate this transaction for cause or default.

(b) Certification Regarding Debarment, Suspension, and Other Responsibility Matters--Primary Covered Transactions

(1) The prospective primary participant certifies to the best of its knowledge and belief, the it and its principals:

(A) Are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by any Federal department or agency;

(B) Have not within a three-year period preceding this proposal been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State or local) transaction or contract under a public transaction; violation of Federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;

(C) Are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (Federal, State or local) with commission of any of the offenses enumerated in paragraph (1)(B) of this certification;

(D) Have not within a three-year period proceeding this application/proposal had one or more public transactions (Federal, State or local) terminated for cause or default.

(2) Where the prospective primary participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

**4. CERTIFICATION REGARDING LOBBYING**

The undersigned certifies, to the best of his or her knowledge and belief, that:

(1) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any Grant, and the extension, continuation, renewal, amendment or modification of any Federal contract, grant, loan, or Grant.

(2) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or Grant, the undersigned shall complete and submit Standard Form-LLL, "Disclosure of Lobbying Activities," in accordance with its instructions.

(3) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and Grants) and that all subgrantees shall certify and disclose accordingly.

This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, United States Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

#### Statement for Loan Guarantees and Loan Insurance

The undersigned states, to the best of his or her knowledge and belief, that: If any funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this commitment providing for the United States to insure or guarantee a loan, the undersigned shall complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions. Submission of this statement is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U.S. Code. Any person who fails to file the required statement shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

#### **5. Prohibition on Assistance to Drug Traffickers for Covered Countries and Individuals (ADS 206)**

USAID reserves the right to terminate this [Agreement/Contract], to demand a refund or take other appropriate measures if the [Grantee/Contractor] is found to have been convicted of a narcotics offense or to have been engaged in drug trafficking as defined in 22 CFR Part 140. The undersigned shall review USAID ADS 206 to determine if any certification is required for Key Individuals or Covered Participants.

If there are COVERED PARTICIPANTS: USAID reserves the right to terminate assistance to, or take or take other appropriate measures with respect to, any participant approved by USAID who is found to have been convicted of a narcotics offense or to have been engaged in drug trafficking as defined in 22 CFR Part 140.

## 6. CERTIFICATION OF GRANTEE

The Grantee certifies that it has reviewed and is familiar with the proposed grant format and the regulations applicable thereto, and that it agrees to comply with all such regulations, except as noted below (use a continuation page as necessary):

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Solicitation No. \_\_\_\_\_

Application/Proposal No. \_\_\_\_\_

Date of Application/Proposal \_\_\_\_\_

Name of Grantee \_\_\_\_\_

Typed Name and Title \_\_\_\_\_

Signature \_\_\_\_\_ Date \_\_\_\_\_

[1] FORMATS\GRNTCERT: Rev. 06/16/97 (ADS 303.6, E303.5.6a) [2] When these Certifications, Assurances, and Other Statements of Grantee are used for Grants, the term "Grant" means "Grant". [3] The Grantee must obtain from each identified subgrantee and (sub)contractor, and submit with its application/proposal, the Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion -- Lower Tier Transactions, set forth in Attachment A hereto. The Grantee should reproduce additional copies as necessary. [4] See ADS Chapter E303.5.6a, 22 CFR 208, Annex1, App A. [5] For USAID, this clause is entitled "Debarment, Suspension, Ineligibility, and Voluntary Exclusion (March 1989)" and is set forth in the grant standard provision entitled "Debarment, Suspension, and Related Matters" if the Grantee is a U.S. nongovernmental organization, or in the grant standard provision entitled "Debarment, Suspension, and Other Responsibility Matters" if the Grantee is a non-U.S. nongovernmental organization.

## **PART II - OTHER STATEMENTS OF GRANTEE**

### **1. AUTHORIZED INDIVIDUALS**

The Grantee represents that the following persons are authorized to negotiate on its behalf with the Government and to bind the Grantee in connection with this application or grant:

Name	Title	Telephone No.	Facsimile No.
<hr/>			
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### **2. TAXPAYER IDENTIFICATION NUMBER (TIN)**

If the Grantee is a U.S. organization, or a foreign organization which has income effectively connected with the conduct of activities in the U.S. or has an office or a place of business or a fiscal paying agent in the U.S., please indicate the Grantee's TIN:

TIN: \_\_\_\_\_

### **3. CONTRACTOR IDENTIFICATION NUMBER - DATA UNIVERSAL NUMBERING SYSTEM (DUNS) NUMBER**

(a) In the space provided at the end of this provision, the Grantee should supply the Data Universal Numbering System (DUNS) number applicable to that name and address. Grantees should take care to report the number that identifies the Grantee's name and address exactly as stated in the proposal.

(b) The DUNS is a 9-digit number assigned by Dun and Bradstreet Information Services. If the Grantee does not have a DUNS number, the Grantee should call Dun and Bradstreet directly at 1-800-333-0505. A DUNS number will be provided immediately by telephone at no charge to the Grantee. The Grantee should be prepared to provide the following information:

- (1) Grantee's name.
- (2) Grantee's address.
- (3) Grantee's telephone number.
- (4) Line of business.
- (5) Chief executive officer/key manager.
- (6) Date the organization was started.
- (7) Number of people employed by the Grantee.
- (8) Company affiliation.

(c) Grantees located outside the United States may obtain the location and phone number of the local Dun and Bradstreet Information Services office from the Internet Home Page at <http://www.dbisna.com/dbis/customer/custlist.htm>. If an offeror is unable to locate a local service center, it may send an e-mail to Dun and Bradstreet at [globalinfo@dbisma.com](mailto:globalinfo@dbisma.com).

The DUNS system is distinct from the Federal Taxpayer Identification Number (TIN) system.

DUNS: \_\_\_\_\_

#### 4. LETTER OF CREDIT (LOC) NUMBER

If the Grantee has an existing Letter of Credit (LOC) with USAID, please indicate the LOC number:

LOC: \_\_\_\_\_

#### 5. PROCUREMENT INFORMATION

(a) Applicability. This applies to the procurement of goods and services planned by the Grantee (i.e., contracts, purchase orders, etc.) from a supplier of goods or services for the direct use or benefit of the Grantee in conducting the program supported by the grant, and not to assistance provided by the Grantee (i.e., a subgrant or subagreement) to a subgrantee or subgrantee in support of the subgrantee's or subgrantee's program. Provision by the Grantee of the requested information does not, in and of itself, constitute USAID approval.

(b) Amount of Procurement. Please indicate the total estimated dollar amount of goods and services, which the Grantee plans to purchase under the grant:

\$ \_\_\_\_\_

(c) Nonexpendable Property. If the Grantee plans to purchase nonexpendable equipment which would require the approval of the Agreement Officer, please indicate below (using a continuation page, as necessary) the types, quantities of each, and estimated unit costs. Nonexpendable equipment for which the Agreement Officer's approval to purchase is required is any article of nonexpendable tangible personal property charged directly to the grant, having a useful life of more than one year and an acquisition cost of \$5,000 or more per unit.

Type/Description (Generic) Cost	Quantity	Estimated Unit Cost
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(d) Source, Origin, and Componentry of Goods. If the Grantee plans to purchase any goods/commodities which are not of U.S. source and/or U.S. origin, and/or does not contain at least 50% componentry which are not at least 50% U.S. source and origin, please indicate below (using a continuation page, as necessary) the types and quantities of each, estimated unit costs of each, and probable source and/or origin, to include the probable source and/or origin of the components if less than 50% U.S. components will be contained in the commodity. "Source" means the country from which a commodity is shipped to the cooperating country or the cooperating country itself if the commodity is located therein at the time of purchase. However, where a commodity is shipped from a free port or bonded warehouse in the form in which received therein, "source" means the country from which the commodity was shipped to the free port or bonded warehouse. Any commodity whose source is a non-Free World country is ineligible for USAID financing. The "origin" of a

commodity is the country or area in which a commodity is mined, grown, or produced. A commodity is produced when, through manufacturing, processing, or substantial and major assembling of components, a commercially recognized new commodity results, which is substantially different in basic characteristics or in purpose or utility from its components. Merely packaging various items together for a particular procurement or relabeling items does not constitute production of a commodity. Any commodity whose origin is a non-Free World country is ineligible for USAID financing. "Components" are the goods which go directly into the production of a produced commodity. Any component from a non-Free World country makes the commodity ineligible for USAID financing.

Type/Description (Generic)	Quantity	Estimated Unit Cost	Goods	Components	Probable Source
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Goods	Components	Probable Origin
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(e) Restricted Goods. If the Grantee plans to purchase any restricted goods, please indicate below (using a continuation page, as necessary) the types and quantities of each, estimated unit costs of each, intended use, and probable source and/or origin. Restricted goods are Agricultural Commodities, Motor Vehicles, Pharmaceuticals, Pesticides, Rubber Compounding Chemicals and Plasticizers, Used Equipment, U.S. Government-Owned Excess Property, and Fertilizer.

Type/Description (Generic)	Quantity	Estimated Unit Cost	Probable Source	Intended Use Origin
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(f) Supplier Nationality. If the Grantee plans to purchase any goods or services from suppliers of goods and services whose nationality is not in the U.S., please indicate below (using a continuation page, as necessary) the types and quantities of each good or service, estimated costs of each, probable nationality of each non-U.S. supplier of each good or service, and the rationale for purchasing from a non-U.S. supplier. Any supplier whose nationality is a non-Free World country is ineligible for USAID financing.

Type/Description	Quantity	Estimated	Probable Supplier Nationality
Rationale (Generic)	Unit Cost	(Non-U.S. Only)	for non-U.S.
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(g) Proposed Disposition. If the Grantee plans to purchase any nonexpendable equipment with a unit acquisition cost of \$5,000 or more, please indicate below (using a continuation page, as necessary) the proposed disposition of each such item. Generally, the Grantee may either retain the property for other uses and make compensation to USAID (computed by applying the percentage of federal participation in the cost of the original program to the current fair market value of the property), or sell the property and reimburse USAID an amount computed by applying to the sales proceeds the percentage of federal participation in the cost of the original

program (except that the Grantee may deduct from the federal share \$500 or 10% of the proceeds, whichever is greater, for selling and handling expenses), or donate the property to a host country institution, or otherwise dispose of the property as instructed by USAID.

Type/Description(Generic) Disposition	Quantity	Estimated Unit Cost	Proposed
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## 6. TYPE OF ORGANIZATION

The Grantee, by checking the applicable box, represents that -

(a) If the Grantee is a U.S. entity, it operates as ☐ a corporation incorporated under the laws of the State of, ☐ an individual, ☐ a partnership, ☐ a nongovernmental nonprofit organization, ☐ a state or local governmental organization, ☐ a private college or university, ☐ a public college or university, ☐ an international organization, or ☐ a joint venture; or

(b) If the Grantee is a non-U.S. entity, it operates as ☐ a corporation organized under the laws of \_\_\_\_\_ (country), ☐ an individual, ☐ a partnership, ☐ a nongovernmental nonprofit organization, ☐ a nongovernmental educational institution, ☐ a governmental organization, ☐ an international organization, or ☐ a joint venture.

## 7. ESTIMATED COSTS OF COMMUNICATIONS PRODUCTS

The following are the estimate(s) of the cost of each separate communications product (i.e., any printed material [other than non-color photocopy material], photographic services, or video production services) which is anticipated under the grant. Each estimate must include all the costs associated with preparation and execution of the product. Use a continuation page as necessary.

## **Attachment A**

### **Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion Lower Tier Covered Transactions**

#### **(a) Instructions for Certification**

1. By signing and submitting this proposal, the prospective lower tier participant is providing the certification set out below.

2. The certification in this clause is a material representation of fact upon which reliance was placed when this transaction was entered into. If it is later determined that the prospective lower tier participant knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government, the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.

3. The prospective lower tier participant shall provide immediate written notice to the person to which this proposal is submitted if at any time the prospective lower tier participant learns that its certification was erroneous when submitted or has become erroneous by reason of changed circumstances.

4. The terms "covered transaction," "debarred," "suspended," "ineligible," "lower tier covered transaction," "participant," "person," "primary covered transaction," "principal," "proposal," and "voluntarily excluded," as used in this clause, has the meanings set out in the Definitions and Coverage sections of rules implementing Executive Order 12549. 1/ You may contact the person to which this proposal is submitted for assistance in obtaining a copy of those regulations.

5. The prospective lower tier participant agrees by submitting this proposal that, should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the department or agency with which this transaction originated.

6. The prospective lower tier participant further agrees by submitting this proposal that it will include this clause titled "Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion--Lower Tier covered Transaction," 2/ without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions.

7. A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that it is not debarred, suspended, ineligible, or voluntarily excluded from the covered transaction, unless it knows that the certification is erroneous. A participant may decide the method and frequency by which it determines the eligibility of its principals. Each participant may, but is not required to, check the Non procurement List.

8. Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.

9. Except for transactions authorized under paragraph 5 of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal Government, the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.

(b) Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion--Lower Tier Covered Transactions

(1) The prospective lower tier participant certifies, by submission of this proposal, that neither it nor its principals is presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this transaction by any Federal department or agency.

(2) Where the prospective lower tier participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

Solicitation No. \_\_\_\_\_

Application/Proposal No. \_\_\_\_\_

Date of Application/Proposal \_\_\_\_\_

Name of Applicant/Subgrantee \_\_\_\_\_

Typed Name and Title \_\_\_\_\_

\_\_\_\_\_

Signature \_\_\_\_\_

1/ See ADS Chapter 303, 22 CFR 208.

2/ For USAID, this clause is entitled "Debarment, Suspension, Ineligibility, and Voluntary Exclusion (March 1989)" and is set forth in the USAID grant standard provision for U.S. nongovernmental organizations entitled "Debarment, Suspension, and Related Matters" (see ADS Chapter 303), or in the USAID grant standard provision for non-U.S. nongovernmental organizations entitled "Debarment, Suspension, and Other Responsibility Matters" (see ADS Chapter 303).

**KEY INDIVIDUAL CERTIFICATION NARCOTICS OFFENSES  
AND DRUG TRAFFICKING**

I hereby certify that within the last ten years:

1. I have not been convicted of a violation of, or a conspiracy to violate, any law or regulation of the United States or any other country concerning narcotic or psychotropic drugs or other controlled substances.

2. I am not and have not been an illicit trafficker in any such drug or controlled substance.

3. I am not and have not been a knowing assistor, abettor, conspirator, or colluder with others in the illicit trafficking in any such drug or substance.

Signature: \_\_\_\_\_

Date: \_\_\_\_\_

Name: \_\_\_\_\_

Title/Position: \_\_\_\_\_

Organization: \_\_\_\_\_

Address: \_\_\_\_\_

\_\_\_\_\_

Date of Birth: \_\_\_\_\_

**NOTICE:**

1. You are required to sign this Certification under the provisions of 22 CFR Part 140, Prohibition on Assistance to Drug Traffickers. These regulations were issued by the Department of State and require that certain key individuals of organizations must sign this Certification.

2. If you make a false Certification you are subject to U.S. criminal prosecution under 18 U.S.C. 1001.

**PARTICIPANT CERTIFICATION NARCOTICS OFFENSES AND DRUG TRAFFICKING**

1. I hereby certify that within the last ten years:

a. I have not been convicted of a violation of, or a conspiracy to violate, any law or regulation of the United States or any other country concerning narcotic or psychotropic drugs or other controlled substances.

b. I am not and have not been an illicit trafficker in any such drug or controlled substance.

c. I am not or have not been a knowing assistor, abettor, conspirator, or colluder with others in the illicit trafficking in any such drug or substance.

2. I understand that USAID may terminate my training if it is determined that I engaged in the above conduct during the last ten years or during my USAID training.

Signature: \_\_\_\_\_

Name: \_\_\_\_\_

Date: \_\_\_\_\_

Address: \_\_\_\_\_

\_\_\_\_\_

Date of Birth: \_\_\_\_\_

**NOTICE:**

1. You are required to sign this Certification under the provisions of 22 CFR Part 140, Prohibition on Assistance to Drug Traffickers. These regulations were issued by the Department of State and require that certain participants must sign this Certification.

2. If you make a false Certification you are subject to U.S. criminal prosecution under 18 U.S.C. 1001.

FORMATS\GRNTCERT: Rev. 06/16/97 (ADS 303.6, E303.5.6a) When these Certifications, Assurances, and Other Statements of Grantee are used for Grants, the term "Grant" means "Grant". The Grantee must obtain from each identified subgrantee and (sub)contractor, and submit with its application/proposal, the Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion -- Lower Tier Transactions, set forth in Attachment A hereto. The Grantee should reproduce additional copies as necessary. See ADS Chapter E303.5.6a, 22 CFR 208, Annex1, App

A. For USAID, this clause is entitled "Debarment, Suspension, Ineligibility, and Voluntary Exclusion (March 1989)" and is set forth in the grant standard provision entitled "Debarment, Suspension, and Related Matters" if the Grantee is a U.S. nongovernmental organization, or in the grant standard provision entitled "Debarment, Suspension, and Other Responsibility Matters" if the Grantee is a non-U.S. nongovernmental organization.